

COMMONWEALTH OF KENTUCKY  
ENVIRONMENTAL and PUBLIC PROTECTION CABINET  
DIVISION OF WASTE MANAGEMENT

**APPLICANT COMPLIANCE RECORD**

Kentucky Revised Statutes (KRS) 224.40-330 and Kentucky Administrative Regulations (KAR) Title 401 38:090 Section 2 (20) require all APPLICANTS for the issuance, renewal, major modification(s), or transfer of a hazardous waste management facility permit and each person who is a key personnel of the APPLICANT, to submit the following information to the Cabinet before the desired permit may be granted. This compliance record is also required prior to a change in key personnel of the APPLICANT.

I.

\_\_\_\_\_  
Applicant's Complete Name

\_\_\_\_\_  
Social Security Number/State of Incorporation or Registration

\_\_\_\_\_  
Business Address (Do not use P.O. Box Number)

\_\_\_\_\_  
Mailing Address

II. List the names of all "Key Personnel" as defined by 224.01-010 (44), and their positions and titles. (Attach additional sheets if necessary.)

a.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

b.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

c.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

d.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

e.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

f.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

g.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title/Position

FOR EACH "KEY PERSONNEL" LISTED, A COMPLETED KEY PERSONNEL PERFORMANCE RECORD MUST BE ATTACHED TO THIS APPLICANT'S COMPLIANCE RECORD.

THE NUMBER OF KEY PERSONNEL PERFORMANCE RECORDS ATTACHED TO THIS APPLICANT'S COMPLIANCE RECORD IS \_\_\_\_\_.

III. A. Describe the APPLICANT'S experience in managing **hazardous waste**.  
(Attach additional sheets if necessary.)

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III. B. List all permits or licenses relating to **hazardous waste** management presently held  
by the APPLICANT in the United States. (Attach additional sheets if necessary.)

a. _____	
Facility Name	Permit/License No.
_____	
Facility Location	Issuing Authority or Agency
b. _____	
Facility Name	Permit/License No.
_____	
Facility Location	Issuing Authority or Agency
c. _____	
Facility Name	Permit/License No.
_____	
Facility Location	Issuing Authority or Agency
d. _____	
Facility Name	Permit/License No.
_____	
Facility Location	Issuing Authority or Agency

III. C. List all permits or licenses relating to **hazardous waste** management held by the APPLICANT within the last five (5) years not listed in response to III.B. (Attach additional sheets if necessary.)

a. \_\_\_\_\_  
 Facility Name Permit/License No.

\_\_\_\_\_  
 Facility Location Issuing Authority or Agency

b. \_\_\_\_\_  
 Facility Name Permit/License No.

\_\_\_\_\_  
 Facility Location Issuing Authority or Agency

c. \_\_\_\_\_  
 Facility Name Permit/License No.

\_\_\_\_\_  
 Facility Location Issuing Authority or Agency

d. \_\_\_\_\_  
 Facility Name Permit/License No.

\_\_\_\_\_  
 Facility Location Issuing Authority or Agency

IV.A. Describe the APPLICANT'S experience in managing **solid waste**. (Attach additional sheets if necessary.)

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IV.B. List all permits or licenses relating to **solid waste** management presently held by the APPLICANT in the United States. (Attach additional sheets if necessary.)

a.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency
b.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency
c.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency
d.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency

IV.C. List all permits or licenses relating to **solid waste** management held by the APPLICANT within the last five (5) years not listed in response to IV.B. (Attach additional sheets if necessary.)

a.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency
b.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency
c.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency
d.	_____	_____
	Facility Name	Permit/License No.
	_____	_____
	Facility Location	Issuing Authority or Agency

V. Have any civil or administrative complaints within the United States or its territories been brought or filed against the APPLICANT for the violation of any local, state, or federal environmental protection law which resulted in a fine or penalty greater than one thousand dollars (\$1,000) within the five (5) year period immediately preceding the submission date of the APPLICANT'S permit application?

YES \_\_\_\_\_

NO \_\_\_\_\_

If yes, describe each civil or administrative complaint which resulted in the fine or penalty. Include in the description the style of the complaint; the case, file or other identifying number; the identity of all parties named in the complaint; the forum in which the complaint was filed; the identity of each local, state, or federal agency that was involved with or named in the complaint; the amount of the fine(s) or penalties(s); whether the fine or penalty has been paid; the identity and a description of each law or regulation violated or alleged to have been violated and upon which the fine(s) or penalties(s) is/are based; and state whether the fine was the result of a settlement or agreed order, an administrative order, or a court judgement. If litigation is ongoing, describe any orders or judgements entered and describe the current status of the litigation. (Attach additional sheets if necessary)

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VI. Have any civil or administrative complaints been brought or filed against the APPLICANT which allege that an act or omission that constitutes a violation of a local, state, or federal environmental protection law or regulation presented a substantial endangerment to public health or to the environment?

YES \_\_\_\_\_

NO \_\_\_\_\_

If yes, describe each civil complaint and each administrative complaint containing the allegation of the act or omission presenting a substantial endangerment to public health or the environment. Each description below shall include at a minimum the following: the style of the complaint; the case, file or other identifying number; the identities of each party to the complaint; the forum in which the complaint was brought; the identity of each local, state, or federal agency that was involved with or named in the complaint; an explanation of the alleged act or omission; the identity and a description of the environmental protection law or regulation alleged to have been violated; an explanation of all corrective action measures performed to correct or mitigate the alleged violation(s); a description of the alleged endangerment to public health or to the environment; and state whether the issues raised in the complaint have been resolved, and if so, whether the resolution was the result of a settlement or agreement, an administrative order or a court order or judgement. If litigation on the allegation(s) is ongoing, describe any orders or judgements entered and describe the present status of the litigation. (Attach additional sheets if necessary)

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and extend across the width of the page. There are no margins, text, or other markings on the paper.

- VII. Describe all pending criminal complaints which allege the APPLICANT'S violation of a local, state, or federal environmental protection law or regulation. If none, write NONE. Each description below must include at a minimum the style of the case and the identifying case number, the date the complaint was filed, the forum in which the complaint is pending, the identity of the law or regulation allegedly violated and a narrative description of the law or regulation, whether the alleged violation(s) is a misdemeanor or a felony, and all actions and pleadings which have occurred or been filed in association with the complaint. Criminal complaints filed more than five (5) years prior to the date of submission of the APPLICANT'S permit application need not be listed. (Attach additional sheets if necessary.)

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IN RESPONSE TO ITEMS **VIII** AND **IX**, EACH DESCRIPTION GIVEN BELOW MUST INCLUDE AT A MINIMUM THE FOLLOWING (UNITED STATES OR TERRITORIES): STYLE, CASE NUMBER; FORUM IN WHICH CONVICTION ENTERED; DATE OF JUDGEMENT; SENTENCE IMPOSED; THE IDENTITY AND A DESCRIPTION OF EACH LAW APPLICANT WERE CONVICTED OF VIOLATING; WHETHER THE CONVICTION WAS THE RESULT OF A PLEA AGREEMENT OR A TRIAL; AND, IF CURRENTLY ON APPEAL, THE STATUS OF THE APPEAL. (ATTACH ADDITIONAL SHEETS IF NECESSARY.)

- VIII. Describe all judgements of criminal conviction entered against the APPLICANT for the violation of any local, state, or federal environmental protection law or regulation. Convictions entered more than five (5) years before the submission date of the APPLICANT'S permit application need not be listed.

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- IX. Describe all judgements of criminal conviction of a felony under the law of any local, state, or the United States that have been entered against the APPLICANT within the five (5) year period preceding the date of submission of the APPLICANT'S application.

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X. List the names and addresses for all waste sites, waste facilities, solid waste management facilities, and hazardous waste management facilities in the United States or Territories in which the APPLICANT has a financial interest, an equitable interest, or in which the APPLICANT is an officer, director or manager, and identify the nature of the APPLICANT'S interest or involvement.

a. \_\_\_\_\_  
Site/Facility Name and ID Number

Site/Facility Address (Do Not Use P. O. Box Number)

Type of Interest	Nature of Interest
1. <b>Direct Interest</b>	1. <b>Primary Interest</b>
2. <b>Indirect Interest</b>	2. <b>Secondary Interest</b>
3. <b>Joint Interest</b>	3. <b>Co-ownership</b>
4. <b>Joint Tenancy</b>	4. <b>Partnership</b>
5. <b>Partnership</b>	5. <b>Co-ownership</b>
6. <b>Co-ownership</b>	6. <b>Partnership</b>
7. <b>Partnership</b>	7. <b>Co-ownership</b>
8. <b>Co-ownership</b>	8. <b>Partnership</b>
9. <b>Partnership</b>	9. <b>Co-ownership</b>
10. <b>Co-ownership</b>	10. <b>Partnership</b>
11. <b>Partnership</b>	11. <b>Co-ownership</b>
12. <b>Co-ownership</b>	12. <b>Partnership</b>
13. <b>Partnership</b>	13. <b>Co-ownership</b>
14. <b>Co-ownership</b>	14. <b>Partnership</b>
15. <b>Partnership</b>	15. <b>Co-ownership</b>
16. <b>Co-ownership</b>	16. <b>Partnership</b>
17. <b>Partnership</b>	17. <b>Co-ownership</b>
18. <b>Co-ownership</b>	18. <b>Partnership</b>
19. <b>Partnership</b>	19. <b>Co-ownership</b>
20. <b>Co-ownership</b>	20. <b>Partnership</b>
21. <b>Partnership</b>	21. <b>Co-ownership</b>
22. <b>Co-ownership</b>	22. <b>Partnership</b>
23. <b>Partnership</b>	23. <b>Co-ownership</b>
24. <b>Co-ownership</b>	24. <b>Partnership</b>
25. <b>Partnership</b>	25. <b>Co-ownership</b>
26. <b>Co-ownership</b>	26. <b>Partnership</b>
27. <b>Partnership</b>	27. <b>Co-ownership</b>
28. <b>Co-ownership</b>	28. <b>Partnership</b>
29. <b>Partnership</b>	29. <b>Co-ownership</b>
30. <b>Co-ownership</b>	30. <b>Partnership</b>
31. <b>Partnership</b>	31. <b>Co-ownership</b>
32. <b>Co-ownership</b>	32. <b>Partnership</b>
33. <b>Partnership</b>	33. <b>Co-ownership</b>
34. <b>Co-ownership</b>	34. <b>Partnership</b>
35. <b>Partnership</b>	35. <b>Co-ownership</b>
36. <b>Co-ownership</b>	36. <b>Partnership</b>
37. <b>Partnership</b>	37. <b>Co-ownership</b>
38. <b>Co-ownership</b>	38. <b>Partnership</b>
39. <b>Partnership</b>	39. <b>Co-ownership</b>
40. <b>Co-ownership</b>	40. <b>Partnership</b>
41. <b>Partnership</b>	41. <b>Co-ownership</b>
42. <b>Co-ownership</b>	42. <b>Partnership</b>
43. <b>Partnership</b>	43. <b>Co-ownership</b>
44. <b>Co-ownership</b>	44. <b>Partnership</b>
45. <b>Partnership</b>	45. <b>Co-ownership</b>
46. <b>Co-ownership</b>	46. <b>Partnership</b>
47. <b>Partnership</b>	47. <b>Co-ownership</b>
48. <b>Co-ownership</b>	48. <b>Partnership</b>
49. <b>Partnership</b>	49. <b>Co-ownership</b>
50. <b>Co-ownership</b>	50. <b>Partnership</b>
51. <b>Partnership</b>	51. <b>Co-ownership</b>
52. <b>Co-ownership</b>	52. <b>Partnership</b>
53. <b>Partnership</b>	53. <b>Co-ownership</b>
54. <b>Co-ownership</b>	54. <b>Partnership</b>
55. <b>Partnership</b>	55. <b>Co-ownership</b>
56. <b>Co-ownership</b>	56. <b>Partnership</b>
57. <b>Partnership</b>	57. <b>Co-ownership</b>
58. <b>Co-ownership</b>	58. <b>Partnership</b>
59. <b>Partnership</b>	59. <b>Co-ownership</b>
60. <b>Co-ownership</b>	60. <b>Partnership</b>
61. <b>Partnership</b>	61. <b>Co-ownership</b>
62. <b>Co-ownership</b>	62. <b>Partnership</b>
63. <b>Partnership</b>	63. <b>Co-ownership</b>
64. <b>Co-ownership</b>	64. <b>Partnership</b>
65. <b>Partnership</b>	65. <b>Co-ownership</b>
66. <b>Co-ownership</b>	66. <b>Partnership</b>
67. <b>Partnership</b>	67. <b>Co-ownership</b>
68. <b>Co-ownership</b>	68. <b>Partnership</b>
69. <b>Partnership</b>	69. <b>Co-ownership</b>
70. <b>Co-ownership</b>	70. <b>Partnership</b>
71. <b>Partnership</b>	71. <b>Co-ownership</b>
72. <b>Co-ownership</b>	72. <b>Partnership</b>
73. <b>Partnership</b>	73. <b>Co-ownership</b>
74. <b>Co-ownership</b>	74. <b>Partnership</b>
75. <b>Partnership</b>	75. <b>Co-ownership</b>
76. <b>Co-ownership</b>	76. <b>Partnership</b>
77. <b>Partnership</b>	77. <b>Co-ownership</b>
78. <b>Co-ownership</b>	78. <b>Partnership</b>
79. <b>Partnership</b>	79. <b>Co-ownership</b>
80. <b>Co-ownership</b>	80. <b>Partnership</b>
81. <b>Partnership</b>	81. <b>Co-ownership</b>
82. <b>Co-ownership</b>	82. <b>Partnership</b>
83. <b>Partnership</b>	83. <b>Co-ownership</b>
84. <b>Co-ownership</b>	84. <b>Partnership</b>
85. <b>Partnership</b>	85. <b>Co-ownership</b>
86. <b>Co-ownership</b>	86. <b>Partnership</b>
87. <b>Partnership</b>	87. <b>Co-ownership</b>
88. <b>Co-ownership</b>	88. <b>Partnership</b>
89. <b>Partnership</b>	89. <b>Co-ownership</b>
90. <b>Co-ownership</b>	90. <b>Partnership</b>
91. <b>Partnership</b>	91. <b>Co-ownership</b>
92. <b>Co-ownership</b>	92. <b>Partnership</b>
93. <b>Partnership</b>	93. <b>Co-ownership</b>
94. <b>Co-ownership</b>	94. <b>Partnership</b>
95. <b>Partnership</b>	95. <b>Co-ownership</b>
96. <b>Co-ownership</b>	96. <b>Partnership</b>
97. <b>Partnership</b>	97. <b>Co-ownership</b>
98. <b>Co-ownership</b>	98. <b>Partnership</b>
99. <b>Partnership</b>	99. <b>Co-ownership</b>
100. <b>Co-ownership</b>	

b. \_\_\_\_\_  
Site/Facility Name and ID Number

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Site/Facility Address (Do Not Use P. O. Box Number)

Type of Interest	Nature of Interest
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C. \_\_\_\_\_  
Site/Facility Name and ID Number

Site/Facility Address (Do Not Use P. O. Box Number)

Type of Interest	Nature of Interest
1. <i>Direct interest</i>	(a) <i>Primary interest</i>
2. <i>Indirect interest</i>	(b) <i>Secondary interest</i>
3. <i>Joint interest</i>	(c) <i>Tenancy in common</i>
4. <i>Several interest</i>	(d) <i>Joint tenancy</i>
5. <i>Concurrent interest</i>	(e) <i>Life estate</i>
6. <i>Future interest</i>	(f) <i>Fee simple</i>
7. <i>Reversionary interest</i>	(g) <i>Fee tail</i>
8. <i>Remainder interest</i>	(h) <i>Leasehold estate</i>
9. <i>Trust interest</i>	(i) <i>Easement</i>
10. <i>Power of appointment</i>	(j) <i>Dominant tenement</i>
11. <i>Right of first refusal</i>	(k) <i>Servient tenement</i>
12. <i>Right of redemption</i>	(l) <i>Right of way</i>
13. <i>Right of pre-emption</i>	(m) <i>Right of eminent domain</i>
14. <i>Right of purchase</i>	(n) <i>Right of escheat</i>
15. <i>Right of survivorship</i>	(o) <i>Right of reverter</i>
16. <i>Right of occupancy</i>	(p) <i>Right of possession</i>
17. <i>Right of enjoyment</i>	(q) <i>Right of use</i>
18. <i>Right of disposal</i>	(r) <i>Right of alienation</i>
19. <i>Right of inheritance</i>	(s) <i>Right of succession</i>
20. <i>Right of ownership</i>	(t) <i>Right of control</i>
21. <i>Right of management</i>	(u) <i>Right of administration</i>
22. <i>Right of supervision</i>	(v) <i>Right of guardianship</i>
23. <i>Right of custody</i>	(w) <i>Right of visitation</i>
24. <i>Right of support</i>	(x) <i>Right of maintenance</i>
25. <i>Right of education</i>	(y) <i>Right of medical care</i>
26. <i>Right of religious freedom</i>	(z) <i>Right of privacy</i>
27. <i>Right of free speech</i>	(aa) <i>Right of assembly</i>
28. <i>Right of petition</i>	(ab) <i>Right of association</i>
29. <i>Right of travel</i>	(ac) <i>Right of interstate commerce</i>
30. <i>Right of foreign travel</i>	(ad) <i>Right of international trade</i>
31. <i>Right of immigration</i>	(ae) <i>Right of extradition</i>
32. <i>Right of emigration</i>	(af) <i>Right of asylum</i>
33. <i>Right of citizenship</i>	(ag) <i>Right of naturalization</i>
34. <i>Right of suffrage</i>	(ah) <i>Right of jury duty</i>
35. <i>Right of military service</i>	(ai) <i>Right of conscription</i>
36. <i>Right of naval service</i>	(aj) <i>Right of draft registration</i>
37. <i>Right of postal service</i>	(ak) <i>Right of passport issuance</i>
38. <i>Right of diplomatic immunity</i>	(al) <i>Right of diplomatic protection</i>
39. <i>Right of consular immunity</i>	(am) <i>Right of consular jurisdiction</i>
40. <i>Right of judicial immunity</i>	(an) <i>Right of judicial review</i>
41. <i>Right of executive immunity</i>	(ao) <i>Right of executive privilege</i>
42. <i>Right of legislative immunity</i>	(ap) <i>Right of legislative veto</i>
43. <i>Right of administrative immunity</i>	(aq) <i>Right of administrative review</i>
44. <i>Right of professional immunity</i>	(ar) <i>Right of professional discipline</i>
45. <i>Right of academic immunity</i>	(as) <i>Right of academic freedom</i>
46. <i>Right of artistic immunity</i>	(at) <i>Right of artistic expression</i>
47. <i>Right of scientific immunity</i>	(au) <i>Right of scientific research</i>
48. <i>Right of journalistic immunity</i>	(av) <i>Right of journalistic investigation</i>
49. <i>Right of literary immunity</i>	(aw) <i>Right of literary criticism</i>
50. <i>Right of musical immunity</i>	(ax) <i>Right of musical performance</i>
51. <i>Right of theatrical immunity</i>	(ay) <i>Right of theatrical production</i>
52. <i>Right of cinematic immunity</i>	(az) <i>Right of cinematic distribution</i>
53. <i>Right of television immunity</i>	(ba) <i>Right of television broadcasting</i>
54. <i>Right of radio immunity</i>	(bb) <i>Right of radio transmission</i>
55. <i>Right of telephone immunity</i>	(bc) <i>Right of telephone communication</i>
56. <i>Right of telegraph immunity</i>	(bd) <i>Right of telegraph message</i>
57. <i>Right of post office immunity</i>	(be) <i>Right of post office delivery</i>
58. <i>Right of mail immunity</i>	(bf) <i>Right of mail transportation</i>
59. <i>Right of express immunity</i>	(bg) <i>Right of express shipment</i>
60. <i>Right of freight immunity</i>	(bh) <i>Right of freight handling</i>
61. <i>Right of cargo immunity</i>	(bi) <i>Right of cargo insurance</i>
62. <i>Right of passenger immunity</i>	(bj) <i>Right of passenger safety</i>
63. <i>Right of baggage immunity</i>	(bk) <i>Right of baggage claim</i>
64. <i>Right of ticket immunity</i>	(bl) <i>Right of ticket refund</i>
65. <i>Right of fare immunity</i>	(bm) <i>Right of fare adjustment</i>
66. <i>Right of discount immunity</i>	(bn) <i>Right of discount application</i>
67. <i>Right of concession immunity</i>	(bo) <i>Right of concession sale</i>
68. <i>Right of license immunity</i>	(bp) <i>Right of license renewal</i>
69. <i>Right of permit immunity</i>	(bq) <i>Right of permit extension</i>
70. <i>Right of certificate immunity</i>	(br) <i>Right of certificate cancellation</i>
71. <i>Right of diploma immunity</i>	(bs) <i>Right of diploma verification</i>
72. <i>Right of degree immunity</i>	(bt) <i>Right of degree revocation</i>
73. <i>Right of title immunity</i>	(bu) <i>Right of title transfer</i>
74. <i>Right of deed immunity</i>	(bv) <i>Right of deed recording</i>
75. <i>Right of mortgage immunity</i>	(bw) <i>Right of mortgage foreclosure</i>
76. <i>Right of lease immunity</i>	(bx) <i>Right of lease termination</i>
77. <i>Right of contract immunity</i>	(by) <i>Right of contract breach</i>
78. <i>Right of agreement immunity</i>	(bz) <i>Right of agreement enforcement</i>
79. <i>Right of promise immunity</i>	(ca) <i>Right of promise fulfillment</i>
80. <i>Right of obligation immunity</i>	(cb) <i>Right of obligation discharge</i>
81. <i>Right of debt immunity</i>	(cc) <i>Right of debt repayment</i>
82. <i>Right of loan immunity</i>	(cd) <i>Right of loan forgiveness</i>
83. <i>Right of credit immunity</i>	(ce) <i>Right of credit rating</i>
84. <i>Right of interest immunity</i>	(cf) <i>Right of interest calculation</i>
85. <i>Right of principal immunity</i>	(cg) <i>Right of principal payment</i>
86. <i>Right of equity immunity</i>	(ch) <i>Right of equity distribution</i>
87. <i>Right of dividend immunity</i>	(ci) <i>Right of dividend declaration</i>
88. <i>Right of bonus immunity</i>	(cj) <i>Right of bonus payment</i>
89. <i>Right of salary immunity</i>	(ck) <i>Right of salary adjustment</i>
90. <i>Right of wage immunity</i>	(cl) <i>Right of wage garnishment</i>
91. <i>Right of pension immunity</i>	(cm) <i>Right of pension vesting</i>
92. <i>Right of annuity immunity</i>	(cn) <i>Right of annuity payment</i>
93. <i>Right of gratuity immunity</i>	(co) <i>Right of gratuity receipt</i>
94. <i>Right of gift immunity</i>	(cp) <i>Right of gift acceptance</i>
95. <i>Right of donation immunity</i>	(cq) <i>Right of donation receipt</i>
96. <i>Right of inheritance immunity</i>	(cr) <i>Right of inheritance disclaiming</i>
97. <i>Right of bequest immunity</i>	(cs) <i>Right of bequest execution</i>
98. <i>Right of legacy immunity</i>	(ct) <i>Right of legacy payment</i>
99. <i>Right of testament immunity</i>	(cu) <i>Right of testamentary disposition</i>
100. <i>Right of will immunity</i>	(cv) <i>Right of will probate</i>
101. <i>Right of executor immunity</i>	(cw) <i>Right of executor appointment</i>
102. <i>Right of administrator immunity</i>	(cx) <i>Right of administrator removal</i>
103. <i>Right of trustee immunity</i>	(cy) <i>Right of trustee resignation</i>
104. <i>Right of beneficiary immunity</i>	(cz) <i>Right of beneficiary designation</i>
105. <i>Right of heir immunity</i>	(da) <i>Right of heir succession</i>

d. \_\_\_\_\_  
Site/Facility Name and ID Number

Site/Facility Address (Do Not Use P. O. Box Number)

Type of Interest	Nature of Interest
1. <b>Direct Interest</b>	1. <b>Direct Interest</b>
2. <b>Indirect Interest</b>	2. <b>Indirect Interest</b>
3. <b>Joint Interest</b>	3. <b>Joint Interest</b>
4. <b>Co-ownership Interest</b>	4. <b>Co-ownership Interest</b>
5. <b>Life Interest</b>	5. <b>Life Interest</b>
6. <b>Reversionary Interest</b>	6. <b>Reversionary Interest</b>
7. <b>Remainder Interest</b>	7. <b>Remainder Interest</b>
8. <b>Future Interest</b>	8. <b>Future Interest</b>
9. <b>Contingent Interest</b>	9. <b>Contingent Interest</b>
10. <b>Executory Interest</b>	10. <b>Executory Interest</b>

APPLICANT NAME: \_\_\_\_\_  
PERMIT/APPLICATION NO: \_\_\_\_\_  
DATE: \_\_\_\_\_

AN INDIVIDUAL, BY EXECUTING THIS DOCUMENT ON BEHALF OF A CORPORATION OR OTHER ENTITY, CERTIFIES THAT SHE OR HE IS DULY AUTHORIZED TO ACT ON BEHALF OF THE CORPORATION OR OTHER ENTITY AND PROVIDE THE INFORMATION CONTAINED HEREIN.

**THE UNDERSIGNED HEREBY SWEARS OR AFFIRMS UNDER PENALTY OF PERJURY THAT THE INFORMATION PROVIDED IN THIS COMPLIANCE RECORD IS COMPLETE, TRUE AND ACCURATE.**

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

Subscribed and sworn to before me by \_\_\_\_\_  
this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

Notary Public's Name and Address: \_\_\_\_\_  
\_\_\_\_\_

Any person who knowingly provides false information in any document filed or required to be maintained under KRS Chapter 224 will be guilty of a Class D felony, and upon conviction thereof will be punished by a fine not to exceed twenty-five thousand dollars (\$25,000), or by imprisonment for a term of not less than one (1) year and not more than five (5) years, or by both fine and imprisonment.

KEY PERSONNEL/NAME: \_\_\_\_\_  
APPLICANT NAME: \_\_\_\_\_  
PERMIT/APPLICATION NO: \_\_\_\_\_  
DATE: \_\_\_\_\_

COMMONWEALTH OF KENTUCKY  
ENVIRONMENTAL and PUBLIC PROTECTION CABINET  
DIVISION OF WASTE MANAGEMENT

**KEY PERSONNEL PERFORMANCE RECORD**

KRS 224.40-330 and 401 KAR 38:090 Section 2 (20) require all applicants for the issuance, renewal, major modification(s), or transfer of a hazardous waste management facility permit and each PERSON who is a KEY PERSONNEL of the Applicant, to submit the following information to the Cabinet before the desired permit may be granted. This compliance record is also required prior to a change in KEY PERSONNEL of the applicant.

The PERSON listed below in Item I, is a KEY PERSONNEL (Listed in Applicants Application Item II. \_\_.)  
for \_\_\_\_\_, permit/application no. \_\_\_\_\_.

I.

Complete Name

Social Security Number/  
State of Incorporation or Registration

Business Address (Do not use P.O. Box Number)

Mailing Address

Type of Person [Reference KRS 224.01-010(44)]

II. Describe the relationship between the Applicant and the "PERSON" identified in Item I  
(hereafter "PERSON") that establishes the "PERSON" as a Key Personnel of the Applicant.

\_\_\_\_\_  
\_\_\_\_\_

III. A. Describe the PERSON'S experience in managing **hazardous waste**.  
(Attach additional sheets if necessary.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

III. B. List all permits or licenses relating to **hazardous waste** management presently held by the PERSON in the United States. (Attach additional sheets if necessary.)

a. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

b. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

c. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

d. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

III. C. List all permits or licenses relating to **hazardous waste** management held by the PERSON within the last five (5) years not listed in response to III.B. (Attach additional sheets if necessary.)

a. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

b. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

c. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

d. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_

Facility Location Issuing Authority or Agency

IV.A. Describe the PERSON'S experience in managing **solid waste**. (Attach additional sheets if necessary.)

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IV.B. List all permits or licenses relating to **solid waste** management presently held by the PERSON in the United States. (Attach additional sheets if necessary.)

a. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_  
Facility Location Issuing Authority or Agency

b. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_  
Facility Location Issuing Authority or Agency

c. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_  
Facility Location Issuing Authority or Agency

IV.C. List all permits or licenses relating to **solid waste** management held by the PERSON within the last five (5) years not listed in response to IV.B. (Attach additional sheets if necessary.)

a. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_  
Facility Location Issuing Authority or Agency

b. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_  
Facility Location Issuing Authority or Agency

c. \_\_\_\_\_  
Facility Name Permit/License No.

\_\_\_\_\_  
Facility Location Issuing Authority or Agency

- V. Have any civil or administrative complaints within the United States or its territories been brought or filed against the PERSON or KEY PERSONNEL for the violation of any local, state, or federal environmental protection law which resulted in a fine or penalty greater than one thousand dollars (\$1,000) within the five (5) year period immediately preceding the submission date of the Applicant's permit application?

YES \_\_\_\_\_

NO \_\_\_\_\_

If yes, describe each civil or administrative complaint which resulted in the fine or penalty. Include in the description the style of the complaint; the case, file or other identifying number; the identity of all parties named in the complaint; the forum in which the complaint was filed; the identity of each local, state, or federal agency that was involved with or named in the complaint; the amount of the fine(s) or penalties(s); whether the fine or penalty has been paid; the identity and a description of each law or regulation violated or alleged to have been violated and upon which the fine(s) or penalties(s) is/are based; and state whether the fine was the result of a settlement or agreed order, an administrative order, or a court judgement. If litigation is ongoing, describe any orders or judgements entered and describe the current status of the litigation. (Attach additional sheets if necessary)

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VI. Have any civil or administrative complaints been brought or filed against the PERSON or KEY PERSONNEL which allege that an act or omission that constitutes a violation of a local, state, or federal environmental protection law or regulation presented a substantial endangerment to public health or to the environment?

YES \_\_\_\_\_

NO \_\_\_\_\_

If yes, describe each civil complaint and each administrative complaint containing the allegation of the act or omission presenting a substantial endangerment to public health or the environment. Each description below shall include at a minimum the following: the style of the complaint; the case, file or other identifying number; the identities of each party to the complaint; the forum in which the complaint was brought; the identity of each local, state, or federal agency that was involved with or named in the complaint; an explanation of the alleged act or omission; the identity and a description of the environmental protection law or regulation alleged to have been violated; an explanation of all corrective action measures performed to correct or mitigate the alleged violation(s); a description of the alleged endangerment to public health or to the environment; and state whether the issues raised in the complaint have been resolved, and if so, whether the resolution was the result of a settlement or agreement, an administrative order or a court order or judgement. If litigation on the allegation(s) is ongoing, describe any orders or judgements entered and describe the present status of the litigation. (Attach additional sheets if necessary)

[illegible]

KEY PERSONNEL/NAME: \_\_\_\_\_

- VII. Describe all pending criminal complaints which allege the PERSON'S or KEY PERSONNEL'S violation of a local, state, or federal environmental protection law or regulation. If none, write NONE. Each description below must include at a minimum the style of the case and the identifying case number, the date the complaint was filed, the forum in which the complaint is pending, the identity of the law or regulation allegedly violated and a narrative description of the law or regulation, whether the alleged violation(s) is a misdemeanor or a felony, and all actions and pleadings which have occurred or been filed in association with the complaint. Criminal complaints filed more than five (5) years prior to the date of submission of the Applicant's permit application need not be listed. (Attach additional sheets if necessary.)

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.



IN RESPONSE TO ITEMS **VIII** AND **IX**, EACH DESCRIPTION GIVEN BELOW MUST INCLUDE AT A MINIMUM THE FOLLOWING (UNITED STATES OR TERRITORIES): STYLE, CASE NUMBER; FORUM IN WHICH CONVICTION ENTERED; DATE OF JUDGEMENT; SENTENCE IMPOSED; THE IDENTITY AND A DESCRIPTION OF EACH LAW PERSON OR KEY PERSONNEL WERE CONVICTED OF VIOLATING; WHETHER THE CONVICTION WAS THE RESULT OF A PLEA AGREEMENT OR A TRIAL; AND, IF CURRENTLY ON APPEAL, THE STATUS OF THE APPEAL. (ATTACH ADDITIONAL SHEETS IF NECESSARY.)

- VIII. Describe all judgements of criminal conviction entered against the PERSON OR KEY PERSONNEL for the violation of any local, state, or federal environmental protection law or regulation. Convictions entered more than five (5) years before the submission date of the Applicant's permit application need not be listed.

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- IX. Describe all judgements of criminal conviction of a felony under the law of any local, state, or the United States that have been entered against the PERSON OR KEY PERSONNEL within the five (5) year period preceding the date of submission of the Applicant's application.

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- X. List the names and addresses for all waste sites, waste facilities, solid waste management facilities, and hazardous waste management facilities in the United States or Territories in which the PERSON OR KEY PERSONNEL has a financial interest, an equitable interest, or in which the PERSON OR KEY PERSONNEL is an officer, director or manager, and identify the nature of the PERSON'S OR KEY PERSONNEL'S interest or involvement.

a. \_\_\_\_\_  
Site/Facility Name and ID Number

\_\_\_\_\_  
Site/Facility Address (Do Not Use P. O. Box Number)

\_\_\_\_\_  
Type of Interest                      Nature of Interest

b. \_\_\_\_\_  
Site/Facility Name and ID Number

\_\_\_\_\_  
Site/Facility Address (Do Not Use P. O. Box Number)

\_\_\_\_\_  
Type of Interest                      Nature of Interest

c. \_\_\_\_\_  
Site/Facility Name and ID Number

\_\_\_\_\_  
Site/Facility Address (Do Not Use P. O. Box Number)

\_\_\_\_\_  
Type of Interest                      Nature of Interest

d. \_\_\_\_\_  
Site/Facility Name and ID Number

\_\_\_\_\_  
Site/Facility Address (Do Not Use P. O. Box Number)

\_\_\_\_\_  
Type of Interest                      Nature of Interest

KEY PERSONNEL/NAME: \_\_\_\_\_  
APPLICANT NAME: \_\_\_\_\_  
PERMIT/APPLICATION NO: \_\_\_\_\_  
DATE: \_\_\_\_\_

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\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

Subscribed and sworn to before me by \_\_\_\_\_  
this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

Notary Public's Name and Address: \_\_\_\_\_  
\_\_\_\_\_

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